

# **ANNUAL SYNAR REPORT**

**42 U.S.C. 300x-26**

**OMB № 0930-0222**

**FFY 2019**

**State: South Carolina**

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## INTRODUCTION

The Annual Synar Report (ASR) format provides the means for states to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the Substance Abuse Prevention and Treatment Block Grant (SABG) (45 C.F.R. 96.130 (e)).

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2018 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2019 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

### **How the Synar report can help states**

The information gathered for the Synar report can help states describe and analyze substate needs for program enhancements. These data can also be used to report to the state legislature and other state and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from state Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of state progress in implementing Synar, including state difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

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<sup>1</sup>The term “state” is used to refer to all the states and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

## Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2018 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

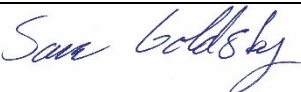
The state must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2019 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2019 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report.
- A scanned copy of the signed Funding Agreements/Certifications

Each state SSA Director has been emailed a login ID and password to log onto the Synar section of the WebBGAS site.

## FFY 2019: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT</b>	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>State:</b> <i>South Carolina</i>	
<b>Name of Chief Executive Officer or Designee:</b> <i>Sara Goldsby</i>	
<b>Signature of CEO or Designee:</b> 	
<b>Title:</b> Director	<b>Date Signed:</b> 12/6/18
If signed by a designee, a copy of the designation must be attached.	

**SECTION I: FFY 2018 (Compliance Progress)****YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

42 U.S.C. 300x-26 requires the states to report information regarding the sale/distribution of tobacco products to individuals under age 18.

- 1. Please indicate any changes or additions to the state tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the state law(s) since the last reporting year, please upload a copy of the state law to WebBGAS. (see 42 U.S.C. 300x-26).**

- a. Has there been a change in the minimum sale age for tobacco products?**

☐ Yes ☒ No

*If Yes, current minimum age:* ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in state law that impact the state's protocol for conducting Synar inspections?**

☐ Yes ☒ No

*If Yes, indicate change. (Check all that apply.)*

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets  
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco  
☐ Changed to require ID to purchase tobacco  
☐ Changed definition of tobacco products  
☐ Other change(s) (Please describe.) \_\_\_\_\_

- c. Have there been any changes in state law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

Vending machines ☐ Yes ☒ No

Added product categories to youth access law ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was made public within the state prior to submission of the ASR. (Check all that apply.)**

☐ Placed on file for public review

☒ Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2019 ASR was posted to this Web address.)

*Web address:* <http://www.daodas.sc.gov/prevention/statistics-and-outcomes/>

*Date published:* December 13, 2018

☐ Notice published in a newspaper or newsletter

☐ Public hearing

- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SABG application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other (Please describe.) \_\_\_\_\_

**3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).**

**a. The state agency(ies) designated by the Governor for oversight of the Synar requirements:**

South Carolina Department of Alcohol and Other Drug Abuse Services (DAODAS)

Has this changed since last year's Annual Synar Report?

☐ Yes ☒ No

**b. The state agency(ies) responsible for conducting random, unannounced Synar inspections:**

South Carolina Department of Alcohol and Other Drug Abuse Services (DAODAS)

Has this changed since last year's Annual Synar Report?

☐ Yes ☒ No

**c. The state agency(ies) responsible for enforcing youth tobacco access law(s):**

South Carolina Law Enforcement Division (SLED)

Has this changed since last year's Annual Synar Report?

☐ Yes ☒ No

**4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.**

**a. Identify the state agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).**

South Carolina Department of Health and Environmental Control (DHEC)

**b. Has the responsible agency changed since last year's Annual Synar Report?**

☐ Yes ☒ No

**c. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies**

☐ Are the same

☐ Have a formal written memorandum of agreement

☐ Have an informal partnership

☐ Conduct joint planning activities

☐ Combine resources

☒ Have other collaborative arrangement(s) (Please describe.) Serve together on tobacco- and other drug-related committees and coalitions

☐ No relationship

- d. Does a state agency contract with the Food and Drug Administration's Center for Tobacco Products (FDA/CTP) to enforce the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act?  
☒ Yes ☐ No (if no, go to Question 5)

- e. If yes, identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).

South Carolina Department of Alcohol and Other Drug Abuse Services (DAODAS)

- f. Has the responsible agency changed since last year's Annual Synar Report?  
☐ Yes ☒ No

- g. Describe the coordination and collaboration that occur between the agency contracted with the FDA to enforce federal youth tobacco access laws and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies:

- ☒ Are the same  
☐ Have a formal written memorandum of agreement  
☐ Have an informal partnership  
☐ Conduct joint planning activities  
☐ Combine resources  
☐ Have other collaborative arrangement(s) (Please describe.) \_\_\_\_\_  
☐ No relationship

- h. Does the state use data from the FDA enforcement inspections for Synar survey reporting?  
☐ Yes ☒ No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2018 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

- a. Which one of the following describes the enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.  
☐ Enforcement is conducted exclusively by state agency(ies).  
☒ Enforcement is conducted by both local *and* state agencies.

- b. The following items concern penalties imposed for all violations of state youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES (this does not include enforcement of local laws or federal youth tobacco access laws). Please fill in the number requested. If state law does not allow for an item, please mark "NA" (not applicable). If a response for an item is unknown, please mark "UNK." The chart must be filled in completely.



PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	NA	27	27
Number of <u>finest assessed</u>	NA	22	22
Number of <u>permits/licenses suspended</u>	NA		NA
Number of <u>permits/licenses revoked</u>	NA		NA
Other (Please describe.)	NA	NA	NA

**c. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?**

☐ Yes ☒ No

*If "Yes" to 5c, please describe the state's procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:*

**d. Which one of the following best describes the level of enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)**

- ☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.
- ☒ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
- ☐ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

**e. Did every tobacco outlet in the state receive at least one compliance check that included enforcement of the state youth tobacco access law(s) in the last year?**

☐ Yes ☒ No

**f. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? (Check all that apply and briefly describe each activity in the text boxes below each activity.)**

☒ Merchant education and/or training

DAODAS is heavily involved with merchant education in South Carolina. The Palmetto Retailers Education Program (PREP) was developed 10 years ago and is a S.C. Department of Revenue-approved merchant education program. It is the only approved merchant education program in the state that includes tobacco content. DAODAS supported its development and initial dissemination to all of the county alcohol and drug abuse authorities and now coordinates its implementation including:

- keeping a state registry of trained merchants;
- sending out certification cards to merchants who complete the program;
- maintaining a PREP web page

(<http://www.daodas.sc.gov/prevention/merchant-initiatives/prep/>);

- printing a statewide PREP brochure;
- keeping a schedule of trainings offered in the counties on the DAODAS website;
- funding improvements to the training materials, including video portions that clearly state the laws and demonstrate purchase scenarios;
- maintaining a list of licensed PREP trainers;
- serving as a central repository from which the counties access PREP materials, such as the participant handbooks (quality control);
- tracking participant test scores; and
- rewarding counties for reaching large numbers of merchants with PREP through the Synar Tobacco Enforcement Partnerships (STEP) incentive funds.

This unified branding for merchant education in our state is an important step forward. There were 1,257 merchants trained in PREP in State FY2018. The retail community has been very supportive of these efforts.

- ☐ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

- ☒ Community education regarding youth access laws

Activity in this area peaked in 2006 due to the passage of the Youth Access to Tobacco Prevention Act of 2006.

County alcohol and drug abuse authorities presented to many audiences, handed out thousands of flyers describing the new penalties, and took part in hundreds of meetings with law enforcement, school personnel, and magistrates regarding how to best educate youth and offer appropriate education programs for those who were cited. While the amount of tobacco-specific education has lessened due to the law being more than five years old, there is still a great deal of attention being paid to its implementation by local law enforcement, schools, and the courts.

DAODAS' county system is one of the primary providers of tobacco education classes for youth who are charged. (A class can be taken in lieu of a fine.)

- ☒ Media use to publicize compliance inspection results

Media activities focused specifically on the sale of tobacco products to minors were conducted by county authorities and community organizations throughout the state.

- ☒ Community mobilization to increase support for retailer compliance with youth access laws

DAODAS supports a comprehensive compliance-check process outside the Synar inspection process that includes pre-notification, regular enforcement with penalties, and appropriate follow-up, analysis, and improvement. Pre-notification refers to creating a general awareness of impending enforcement operations among the retail communities, but does not mean that specific times or dates are provided to merchants. There is no pre-notification used during the Synar process.

All 32 county alcohol and drug abuse authorities were required in FFY 2018, as part of the contract between DAODAS and each county authority, to assist local law enforcement with the implementation of tobacco compliance checks in at least one area of the county. DAODAS has mandated a standardized compliance check form for all checks conducted by county authorities. This database allows DAODAS to keep a record of compliance rates by area, type of store, demographics of buyer, demographics of seller, etc. In FFY 2018, 719 tobacco compliance checks were completed throughout the state, resulting in 27 citations. The average fine to the clerk for a sale to a minor was \$406.34.

DAODAS is continuing a concerted effort to support increased enforcement at the local level. PIRE will work most with those counties with the highest sales rates and those that have yet to achieve consistent enforcement in an effort to drive down the state sales rates even further. One method of achieving this was to develop a tobacco education and enforcement training for local officers in South Carolina. As seen in alcohol enforcement, officers' enthusiasm for enforcing a set of laws increases dramatically when they are educated about the issue and understand the law, something often not addressed previously in their academy training. Training is available throughout the year from DAODAS/PIRE at the request of the counties.

☒ Other activities (*Please list.*) STEP

This initiative began in June 2006. STEP encompasses the Synar study, the state coverage study, the tobacco compliance checks required of the counties through local law enforcement partners, and the STEP incentive funds. The STEP incentives are a system through which counties can earn points for conducting tobacco prevention activities. The more points they earn, the greater the portion of the STEP incentive funds that they receive at the end of the year.

Counties earn points for:

- serving people in merchant education;
- working with local law enforcement agencies to complete tobacco compliance checks;
- informing state Synar staff of new tobacco outlets as they open; and
- getting local law enforcement to sign on to multi-jurisdictional law enforcement agreements around tobacco.

The state has created a formula for each of these components, and staff track the points as counties send in documentation regarding these activities. Funding received from these activities can be used to increase community awareness of youth tobacco access/use through information dissemination activities, and education and training for law enforcement and/or community partners.

## SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2018 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

**6. Has the sampling methodology changed from the previous year?**

☐ Yes ☒ No

*The state is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.*

**a. If yes, describe how and when this change was communicated to SAMHSA.**

**7. Please answer the following questions regarding the state's annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).**

**a. Did the state use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?**

☒ Yes ☐ No

*If Yes, upload a copy of SSES tables 1–8 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.*

**b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).**

Unweighted RVR

Weighted RVR

Standard error (s.e.) of the (weighted) RVR

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

	+	(1.645	×		)	=	
RVR Estimate	plus	(1.645	times	Standard Error)	equals	Right Limit	

Accuracy rate

Completion rate

**c. Fill out Form 1 in Appendix A (Forms 1–5). (Required regardless of the sample design.)**

**d. How were the (weighted) RVR estimate and its standard error obtained? (Check the one that applies.)**

☐ Form 2 (Optional) in Appendix A (Forms 1–5) (Attach completed Form 2.)

☐ Other (Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)

- e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year?

☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

- f. Was a cluster sample design used?

☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

- g. Report the following outlet sample sizes for the Synar survey.

	Sample Size
<b>Effective sample size</b> (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
<b>Target sample size</b> (the product of the effective sample size and the design effect)	
<b>Original sample size</b> (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
<b>Eligible sample size</b> (number of outlets found to be eligible in the sample)	
<b>Final sample size</b> (number of eligible outlets in the sample for which an inspection was completed)	

- h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the state’s Synar survey use a list frame?

☒ Yes ☐ No

If Yes, answer the following questions about its coverage.

- a. The calendar year of the latest Sampling frame coverage study: 2018
- b. Percent coverage from the latest Sampling frame coverage study: 86.2%
- c. Was a new study conducted in this reporting period?

☒ Yes ☐ No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

- d. The calendar year of the next coverage study planned: 2021

**9. Has the Synar survey inspection protocol changed from the previous year?**

☐ Yes ☒ No

*The state is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.*

- a. If Yes, describe how and when this change was communicated to SAMHSA.**

- b. Provide the inspection period: From \_\_\_\_\_ to \_\_\_\_\_**  
MM/DD/YY MM/DD/YY

- c. Provide the number of youth inspectors used in the current inspection year:**

\_\_\_\_\_

NOTE: If the state uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

- d. Fill out and attach Form 5 in Appendix A (Forms 1–5). (Not required if the state used SSES to analyze the Synar survey data.)**

## SECTION II: FFY 2019 (Intended Use):

Public Law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the states provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

**1. In the upcoming year, does the state anticipate any changes in:**

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

*If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the state is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.*

**2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2019. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.**

First, we continue to support statewide implementation of PREP, with every county alcohol and drug abuse authority implementing the program for voluntary or court-mandated merchants.

Second, DAODAS continues to require the county authorities to work with local law enforcement agencies to implement tobacco compliance checks.

Third, the STEP incentive program (*described in question 5c above*) is having major positive impacts.

Fourth, PIRE offers training of local law enforcement on the enforcement of tobacco laws, as they have helped encourage increased underage drinking enforcement. PIRE has developed an enforcement training focused on youth tobacco laws.

Fifth, the county authorities will continue to be among the frequent providers of education programs for youth charged for tobacco possession or consumption. To strengthen this effort, DAODAS and local prevention staff collaboratively developed the Tobacco Education Program (TEP) as the program offered consistently statewide. Feedback on TEP remains positive.

Our state FDA retail inspection unit is active and having a substantial impact on retailers.

The state changed the Synar sampling methodology in FFY 2014 to reflect the FDA program in South Carolina. We no longer cover vending machines for the Synar study, since this is done by the FDA unit. Since the change was successful, we used the same sampling methodology (non-stratified systematic random) this year.

**3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply and describe each challenge in the text box below it.)**

☒ Limited resources for law enforcement of youth access laws

Law enforcement suffered drastic funding cuts over the past few years at the local and state levels, which has nearly eliminated all state tobacco law enforcement.

- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws

Without STEP incentive funding that can be used for training, education, and information dissemination activities, there might not be any local enforcement.

- ☐ Limitations in the state youth tobacco access laws

- ☐ Limited public support for enforcement of youth tobacco access laws

- ☒ Limitations on completeness/accuracy of list of tobacco outlets

No formal list of tobacco vendors exists for South Carolina outside of the FDA's list.

Vendors are not required to have a license to sell tobacco. The database of outlets consists of places identified through alcohol license lists, lottery outlet lists, pharmacy openings, and identification by county prevention professionals and volunteers.

This list is quite thorough, but requires frequent updating and de-duplication. A potential solution to this would be to require tobacco vendors to purchase a license through the S.C. Department of Revenue.

There are no plans to address this in the foreseeable future in South Carolina. Despite this, the state will continue to clean its list frame to remove known ineligible outlets prior to selecting its Synar sample.

- ☐ Limited expertise in survey methodology

- ☐ Laws/regulations limiting the use of minors in tobacco inspections

- ☐ Difficulties recruiting youth inspectors

- ☐ Issues regarding the balance of inspections conducted by youth inspectors age 15 and under

- ☐ Issues regarding the balance of inspections conducted by one gender of youth inspectors

- ☐ Geographic, demographic, and logistical considerations in conducting inspections

- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)

- ☐ Issues regarding sources of tobacco under tribal jurisdiction



☐ Other challenges (*Please list.*) \_\_\_\_\_

## APPENDIX A: FORMS 1–5

### FORM 1 (Required for all states not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year’s Synar survey inspections.

**Instructions for Completing Form 1:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the state must be listed.

*If no stratification was used:*

1(a) Leave blank.

1(b) Write “state” in the first row (indicates that the whole state is a single stratum).

*Note for unstratified samples: For Columns 2–5, wherever the instruction refers to “each stratum,” report the specified information for the state as a whole.*

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.

3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.

3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

*The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.*

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.

4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.

4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.

5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.

5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each subcolumn (a–c) in Columns 2–5, provide totals for the state as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

**FORM 1 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data.)**

[illegible]

**RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).**

**FORM 2 (Optional)****Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and noncomplete inspections encountered during the annual Synar survey.

**Instructions for Completing Form 2:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The state unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the state weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the state will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the state weighted RVR will be shown in the Total row of Column 11.
- TOTAL: For Columns 2–6, Form 2 (in Excel form) provides totals for the state as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the state as a whole.

**FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.**

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2019
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
<b>Total</b>										

- N - number of outlets in sampling frame  
 n - original sample size (number of outlets in the original sample)  
 n1 - number of sample outlets that were found to be eligible  
 n2 - number of eligible outlets that were inspected  
 x - number of inspected outlets that were found in violation  
 p - stratum retailer violation rate ( $p=x/n2$ )  
 N' - estimated number of eligible outlets in population ( $N'=N*n1/n$ )  
 w - relative stratum weight ( $w=N'/\text{Total Column 8}$ )  
 pw - stratum contribution to the weighted RVR  
 s.e. - standard error of the stratum RVR

**FORM 3 (Required when a cluster design is used for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)**

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

**Instructions for Completing Form 3:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the state must be listed.

*If no stratification was used:* Write “state” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3–5, provide totals for the state as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2019				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
<b>Total</b>				

**FORM 4 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)**

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

**Instructions for Completing Form 4:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked "Total."

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked "Total."

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b> <b>State:</b> _____ <b>FFY:</b> 2019 _____			
<b>(1) INELIGIBLE</b>		<b>(2) ELIGIBLE</b>	
<b>Reason for Ineligibility</b>	<b>(a) Counts</b>	<b>Reason for Noncompletion</b>	<b>(a) Counts</b>
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
<b>Total</b>		<b>Total</b>	

**FORM 5 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data)**

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

**Instructions for Completing Form 5:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the “Other” row. Calculate subtotals for males and females in rows marked “Male Subtotal” and “Female Subtotal.” Sum subtotals for Male, Female, and Other and record in the bottom row marked “Total.” Verify that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2019 _____
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		



## **APPENDIXES B & C: FORMS**

### Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2018.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: South Carolina  
FFY: 2019

### 1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)  
☐ Area frame (*Go to Question 3.*)  
☐ List-assisted area frame (*Go to Question 2.*)

### 2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

*Use the corresponding number to indicate Type of Source in the table below.*

- |   |  |
|---|--|
| 1 – Statewide commercial business list    | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list        | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other                                |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Lottery	6	Outlets that have applied to sell lottery tickets for the South Carolina Education Lottery	Annually
State Alcohol License Database	5	The S.C. Department of Revenue provides a database of all off-premise alcohol license outlets.	Annually
Internet business listings	1	Internet searches of various websites containing business listings	Annually
County identified	6	County survey coordinators identify individual outlets for inclusion in the list when they find them.	Annually
FDA tobacco outlet list	6	The list of tobacco outlets in South Carolina used for FDA compliance checks (listed on FDA public website)	Annually

### 3. If an area frame is used, describe how area sampling units are defined and formed.

#### a. Is any area left out in the formation of the area frame?

☐ Yes ☐ No

*If Yes, what percentage of the state's population is not covered by the area frame?*

\_\_\_\_%

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?

☐ Yes ☒ No

If **No**, please indicate the reason(s) they are not included in the Synar survey. Please check all that apply.

- ☐ State law bans vending machines.
- ☐ State law bans vending machines from locations accessible to youth.
- ☒ State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- ☐ Other (Please describe.) \_\_\_\_\_

If Yes, please indicate how likely it is that vending machines will be sampled.

- ☐ Vending machines are sampled separately to ensure vending machines are included in the sample
- ☐ Vending machines are sampled together with over the counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection
- ☐ Other reasons (Please describe.) \_\_\_\_\_

5. Which category below best describes the sample design? (Check only one.)

☐ **Census** (STOP HERE: Appendix B is complete.)

**Unstratified statewide sample:**

- ☐ Simple random sample (Go to Question 9.)
- ☒ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 8.)
- ☐ Multistage cluster sample (Go to Question 8.)

**Stratified sample:**

- ☐ Simple random sample (Go to Question 7.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 7.)
- ☐ Multistage cluster sample (Go to Question 7.)
- ☐ **Other** (Please describe and go to Question 9.) \_\_\_\_\_

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

South Carolina uses the SSES Sample Size Calculator to determine the appropriate number of inspections that must be completed to fulfill the federal requirements. The number of OTC outlets (Y) is divided by the OTC list frame size (X). That number (Z) means that every Z<sup>th</sup> outlet will be sampled after ordering the list frame by county.

A number (A) from 1 to Z is randomly selected as the starting point. Starting with the A<sup>th</sup> store, that store is selected, followed by A + Z, A + 2Z, A + 3Z, etc. This method ensures

that all counties are included and are in equal proportion to the number of outlets they contain.

**7. Provide the following information about stratification.**

- a. Provide a full description of the strata that are created.**

- b. Is clustering used within the stratified sample?**

☐ **Yes** (Go to Question 8.)

☐ **No** (Go to Question 9.)

**8. Provide the following information about clustering.**

- a. Provide a full description of how clusters are formed. (If multistage clusters are used, give definitions of clusters at each stage.)**

- b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

**9. Provide the following information about determining the Synar Sample.**

- a. Was the Synar Survey Estimation System (SSES) used to calculate the sample size?**

☒ **Yes** (Respond to part b.)

☐ **No** (Respond to part c and Question 10c.)

- b. SSES Sample Size Calculator used?**

☒ **State Level** (Respond to Question 10a.)

☐ **Stratum Level** (Respond to Question 10a and 10b.)

- c. Provide the formulas for determining the effective, target, and original outlet sample sizes.**

The Planned Original Sample Size is used to determine how many OTC outlets to include in the study. (This number may typically be rounded up.) If this final number of outlets is lower than the previous year's study total, the state may consider raising the sample size closer to the previous year's total to increase precision even further beyond requirements and to maintain a level of consistency for the county alcohol and drug abuse authorities that conduct the inspections. This particularly has occurred since vending machines were removed from the sample in FFY 2014.

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2018.**

- a. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:**

**Inputs for Effective Sample Size:**

RVR: 4.3%

Frame Size: 6,766

**Input for Target Sample Size:**

Design Effect: 1.0

**Inputs for Original Sample Size:**

Safety Margin: 25.0%

Accuracy (Eligibility) Rate: 81.0%

Completion Rate: 97.0%

- b. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the stratum level sample sizes, please provide the stratum level information:**

No stratum-level sample sizes were calculated in FFY 2019.
--

- c. If the state does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.**

The sample size formulas embedded in the SSES Sample Size Calculator are used.
--

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: South Carolina

FFY: 2019

*Note: Upload to WebBGAS a copy of the Synar inspection form under the heading “Synar Inspection Form” and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading “Synar Inspection Protocol.”*

### 1. How does the state Synar survey protocol address the following?

#### a. Consummated buy attempts?

- ☒ Required
- ☐ Permitted under specified circumstances (Describe:      )
- ☐ Not permitted

#### b. Youth inspectors to carry ID?

- ☐ Required
- ☐ Permitted under specified circumstances (Describe:      )
- ☒ Not permitted

#### c. Adult inspectors to enter the outlet?

- ☐ Required
- ☒ Permitted under specified circumstances (Describe: The safety of the youth is the most important aspect of the Synar program. If the local team determines an adult should enter the outlet with the youth in order to ensure their safety, that is done. If they can watch the youth from a vehicle, that is also acceptable.)
- ☐ Not permitted

#### d. Youth inspectors to be compensated?

- ☐ Required
- ☒ Permitted under specified circumstances (Describe: The local agencies can provide incentives for the volunteers, such as gift cards. The incentive value cannot exceed \$30.00 per volunteer.)
- ☐ Not permitted

### 2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☐ Law enforcement agency(ies)
- ☒ State or local government agency(ies) other than law enforcement
- ☐ Private contractor(s)

☐ Other

List the agency name(s): The 32 county alcohol and drug abuse authorities under the S.C. Department of Alcohol and Other Drug Abuse Services (listed at <http://www.daodas.sc.gov/treatment/local-providers/>)

**3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement representatives issue warnings or citations to retailers found in violation of the law at the time of the inspection)?**

☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

**4. Describe the type of tobacco products that are requested during Synar inspections.**

**a. What type of tobacco products are requested during the inspection?**

- ☒ Cigarettes
- ☐ Small Cigars
- ☐ Cigarillos
- ☐ Smokeless Tobacco
- ☐ Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)
- ☐ Other

**b. Describe the protocol for identifying what types of products and what brands of products are requested during an inspection.**

The youth are instructed to purchase cigarettes only. The training manual states that the youth should match the requested brand of cigarettes as appropriate for the race and gender of the youth volunteer.

**5a. Describe the methods used to recruit, select, and train adult supervisors.**

Inspections are conducted by county alcohol and drug abuse authorities.  
Each local agency appoints a survey coordinator who is responsible for the recruitment and training of adult supervisors.  
Coordinators recruit adult supervisors from the families and friends of agency employees, local churches, schools, and any other source of potential volunteers. However, adult volunteers are usually agency staff and parents of youth volunteers.

**5b. Describe the methods used to recruit, select, and train youth inspectors.**

Each local agency appoints a survey coordinator who is responsible for the recruitment and training of youth inspectors.  
Each county is required to use a roughly equal number of males and females and a roughly equal number of 15-, 16-, and 17-year-olds. Counties are asked to use inspectors who match the racial makeup of the outlet community if there is a predominant race.  
In addition, coordinators are instructed to permit each youth inspector to make no more than nine completed eligible purchase attempts, to guard against the personal characteristics of a single youth creating a bias in that county.

Prior to the start of youth recruitment and data collection, new agency coordinators receive a training session at the DAODAS office in Columbia. During this training, they are provided with notebooks containing survey instructions, background materials, and data collection forms. Experienced agency coordinators are required to participate in a conference call to review the key directives and requirements. They receive the same materials. During each training, coordinators are instructed on methodology. County coordinators then provide training at the local level for their own youth inspectors, with assistance from DAODAS if necessary.

**6. Are there specific legal or procedural requirements instituted by the state to address the issue of youth inspectors' immunity when conducting inspections?**

**a. Legal**

☒ Yes ☐ No

*(If Yes, please describe.)*

Our state allows for the purchase of tobacco by a minor "participating within the course and scope of an authorized inspection or compliance check." The "authorized inspection" language was inserted at the request of the state Synar staff. Each local inspection team is required to carry a letter signed by Michelle Nienhuis, State Synar Coordinator, stating that the youth are not in violation of the law by participating in these inspections.

**b. Procedural**

☐ Yes ☒ No

*(If Yes, please describe.)*

**7. Are there specific legal or procedural requirements instituted by the state to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?**

**a. Legal**

☐ Yes ☒ No

*(If Yes, please describe.)*

**b. Procedural**

☒ Yes ☐ No

*(If Yes, please describe.)*

To ensure the safety of the youth, we require that an adult staff person or volunteer be inside the establishment (if at all possible) from the time a youth enters the store until the time they leave.



The other adult on the inspection team remains in the car. If an adult is not able to enter the store, they must be able to maintain visual contact with the youth at all times.

**8. Are there any other legal or procedural requirements the state has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

**a. Legal**

☐ Yes ☒ No

*(If Yes, please describe.)*

**b. Procedural**

☒ Yes ☐ No

*(If Yes, please describe.)*

Youth receive training from the county coordinators prior to the inspections. Youth must be age 15, 16, or 17. There are no specific time-of-day requirements, but all surveys must be completed between January 1 and February 28 (February 29 in a leap year). Youth volunteers and their parents or guardians complete permission forms prior to participation.

## APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: South Carolina  
FFY: 2019

1. Calendar year of the coverage study: 2018

2.     a. Unweighted percent coverage found: 86.2%  
       b. Weighted percent coverage found: 86.2%  
       c. Number of outlets found through canvassing: 152  
       d. Number of outlets matched on the list frame: 131

3.     a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

Census Tracts

b. Were any areas of the state excluded from sampling?

☐ Yes   ☒ No

*If Yes, please explain.*

4. Please answer the following questions about the selection of canvassing areas.

a. Which category below best describes the sample design? (Check only one.)

☐ Census (Go to Question 6.)

**Unstratified statewide sample:**

☒ Simple random sample (Respond to Part b.)

☐ Systematic random sample (Respond to Part b.)

☐ Single-stage cluster sample (Respond to Parts b and d.)

☐ Multistage cluster sample (Respond to Parts b and d.)

**Stratified sample:**

☐ Simple random sample (Respond to Parts b and c.)

☐ Systematic random sample (Respond to Parts b and c.)

☐ Single-stage cluster sample (Respond to Parts b, c, and d.)

☐ Multistage cluster sample (Respond to Parts b, c, and d.)

☐ Other (Please describe and respond to Part b.) \_\_\_\_\_

**b. Describe the sampling methods.**

The Synar/Tobacco Prevention Coordinator created a list frame of all state census tracts and then randomly selected 23 census tracts to ensure he met SAMHSA's recommended sample of areas containing the appropriate range of outlets (i.e., 130 to 200). DAODAS prevention staff visited 23 census tracts and found 152 outlets. All census tracts were canvassed between February and May of 2018.

**c. Provide a full description of the strata that were created.**

**d. Provide a full description of how clusters were formed.**

**5. Were borders of the selected areas clearly identified at the time of canvassing?**

☒ Yes ☐ No

**6. Were all sampled areas visited by canvassing teams?**

☒ Yes (Go to Question 7.) ☐ No (Respond to Parts a and b.)

**a. Was the subset of areas randomly chosen?**

☐ Yes ☐ No

**b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.**

**7. Were field observers provided with a detailed map of the canvassing areas?**

☒ Yes ☐ No

*If No, describe the canvassing instructions given to the field observers.*

**8. Were field observers instructed to find all outlets in the assigned area?**

☒ Yes ☐ No

*If No, respond to Question 9.*

*If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.*

Prior to canvassing each census tract, the Synar/Tobacco Prevention Coordinator worked with the DAODAS Epidemiologist to develop GIS maps of each census tract. Once the Epidemiologist completed the maps, the Synar/Tobacco Prevention Coordinator compared the GIS map to Google Maps data. Then, the Synar/Tobacco Prevention Coordinator used Google Maps to identify longitude and latitude coordinates of all roads in each census tract. Next, the Synar/Tobacco Prevention Coordinator entered the latitude and longitude coordinates into Route4Me's route developer to create the most efficient routes. This process was followed to plan each census tract. To accompany the maps of each census tract, the Synar Tobacco Prevention Coordinator created a checklist-of-roads document to accompany each census tract map and Route4Me route. This document clearly described the census tract boundary for each DAODAS prevention team canvasser, included key landmarks found in the tract (e.g., parks, schools, intersections, businesses), starting and stopping points, and gave the canvassers a "notes" section to add more detail if necessary. All canvassing was done with state Synar staff, which strengthened the study's fidelity. The canvassers were instructed to pull up the Route4Me app and click on the Map icon to visualize the list of entered latitude and longitude coordinates (listed as green destination points). The canvassers used this app feature to identify and mark off the roads of each census tract, which could be checked off in the app. The canvassers were instructed to drive down every road unless they were sure there could be no retail outlets (e.g., inside a small subdivision or on a dirt utility road) or the team could see down the entire road without traveling on it.

**9. If a full canvassing was not conducted:**

- a. How many predetermined outlets were to be observed in each area? \_\_\_\_\_
- b. What were the starting points for each area? \_\_\_\_\_
- c. Were these starting points randomly chosen?  
☐ Yes   ☐ No
- d. Describe the selection of the starting points.

- e. Please describe the canvassing instructions given to the field observers, including predetermined routes.

**10. Describe the process field observers used to determine if an outlet sold tobacco.**

All obvious tobacco outlets from a visual inspection were recorded; these included outlets that visibly displayed tobacco through the window or tobacco advertising with pricing. A member of the team entered any location with the potential for tobacco sales and recorded those that sell.

**11. Please provide the state's definition of "matches" or "mismatches" to the Synar sampling frame? (i.e., address, business name, business license number, etc.)**

The outlet information gathered during canvassing was compared to the Synar sampling frame both by street address and outlet name. Matches were considered to be outlets that had identical addresses unless the business name clearly indicated the outlets were not identical (e.g., a Walmart Supercenter and Bi-Lo). Mismatches were considered to be outlets identified during canvassing that did not match any names or addresses on the Synar list frame.

**12. Provide the calculation of the weighted percent coverage (if applicable).**

NA – Simple random sampling was used.